



DEPARTMENT OF THE NAVY

DIRECTOR NAVAL RESERVE INFORMATION SYSTEMS OFFICE
4400 DAUPHINE STREET
NEW ORLEANS, LOUISIANA 70146-5401

NAVRESINFOSYSOFFINST 5236.1A
N242
15 Feb 2000

NAVRESINFOSYSOFF INSTRUCTION 5236.1A

Subj: MANAGEMENT OF COMMERCIAL COPYRIGHTED COMPUTER SOFTWARE

Ref: (a) DoD 5000.2-R
(b) SECNAVINST 5000.2B
(c) ASN (RD&A) memo of 22 Jul 97
(d) SEO/MP ltr Ser MP10/181 of 1 Jul 98
(e) Federal Acquisition Regulation (FAR)
(f) COMNAVRESFOR P4000.1
(g) OPNAVINST 5239.1A
(h) SECNAVINST 5239.3
(i) NAVSO P-5239-29
(j) COMNAVRESFORINST 5239.1A
(k) NAVRESINFOSYSOFFINST 5239.1
(l) NAVRESINFOSYSOFFINST 1070.1A
(m) NAVRESINFOSYSOFFINST 5224.1A
(n) NAVRESINFOSYSOFFINST 5230.6

1. Purpose. To establish the Naval Reserve Information Systems Office (NAVRESINFOSYSOFF) policy and procedures for the acquisition, distribution, installation, use, redistribution, and disposal of commercial copyrighted computer software ensuring compliance with software licensing agreements following United States commercial and copyright laws and references (a) through (n). To establish a process that ensures proper software management techniques are used to manage the command's commercial software investment in an effective and efficient manner, to realize the full benefits of that investment, and to eliminate the possibility of legal and financial liability.

2. Cancellation. NAVRESINFOSYSOFFINST 5236.1

3. Background. NAVRESINFOSYSOFF is responsible for the acquisition and management of commercial software worth millions of dollars. To this effect, NAVRESINFOSYSOFF has established the Software Control Center/Software Media Library (SCC/SML) under the direction of NAVRESINFOSYSOFF Logistics/Field Support Division (N24). Procurement and inventory of commercial software has grown dramatically as a result of the command's rapid personnel and mission growth. Establishing policy and operational procedures for the software acquisition and distribution process will provide adequate control to ensure compliance with software licensing agreements and effective software management. NAVRESINFOSYSOFF's goal is to support the command's mission by providing quality commercial software products.

4. Applicability and Scope. This instruction applies to NAVRESINFOSYSOFF government and contractor personnel including the Central Design Activity (CDA) Detachments.

5. Responsibility and Accountability

a. NAVRESINFOSYSOFF personnel (government and contractor) will adhere to this instruction, and be held accountable for their action. Individuals who violate this policy may be subject to informal and/or formal disciplinary action.

15 Feb 2000

b. Department and division directors will coordinate and control software management efforts by subordinate staff personnel. Directors will verify software requests as valid requirements.

c. NAVRESINFOSYSOFF Contracting Officer Representatives (CORs) will ensure all requests by contractor personnel for commercial copyrighted software support are approved by the SCC/SML prior to the acquisition, distribution, installation, redistribution, or disposal of that software.

d. NAVRESINFOSYSOFF (N24) will process software acquisition requests per references (a) through (e); ship, receive, distribute, store, and safeguard all commercial copyrighted software; and develop procedures governing the commercial software acquisition and distribution process.

e. The SCC/SML will:

(1) Perform software management control functions and tasks in the software acquisition, distribution, and installation process.

(2) Enforce software licensing agreements.

(3) Develop the command policy and internal processes concerning the acquisition, distribution, installation, and use of commercial copyrighted software (including shareware, freeware and public domain), and monitor the program to verify that the internal controls are meeting the established goals and objectives.

(4) Approve all requests for commercial copyrighted software prior to the acquisition, distribution, and/or installation of that software.

(5) Maintain the Software Inventory Management System (SIMS), the command's software inventory database.

(6) With other NAVRESINFOSYSOFF departments, develop and publish command software standard configurations for general Office Automation (OA) and for NAVRESINFOSYSOFF developed Automated Information Systems (AISs) and Commercial Off-The-Shelf (COTS) software baseline.

(7) Develop, communicate, and execute the command's Software Management Plan for commercial copyrighted software outlining the benefits of software management. Also, develop a Program Management Charter establishing a Software Management Team identifying key personnel (management and users (government and contractor)), their roles and responsibilities, an organizational structure, and scope of the program.

f. NAVRESINFOSYSOFF Contracting/Purchasing Division (N14) will:

(1) Procure, purchase, deliver, and contract for all commercial copyrighted software products.

(2) Ensure that procurement of software includes the SCC/SML required input before action is initiated.

g. NAVRESINFOSYSOFF Telecommunications and Operations Department (N5) will:

(1) Coordinate software configuration management, the configuration of microcomputers and network servers for OA.

(2) Install all commercial copyrighted software.

h. Software Engineering (NAVRESINFOSYSOFF (N00T)) departments that develop Information Systems (ISs) will coordinate software configuration

management, the configuration of microcomputers and network servers for command owned, developed, and operated ISs.

i. NAVRESINFOSYSOFF (N55) Information Security and Safety Division IS Security Managers will ensure the IS Security program which includes computer security, software risk assessment, and software risk management complies with references (g) through (l).

j. NAVRESINFOSYSOFF CDA Detachments will implement internal procedures complying with this instruction. Ensure NAVRESINFOSYSOFF (N242) is 'copy to' on the implementing instruction.

6. Action

a. Acquisition/Procurement

(1) Initial acquisition/procurement actions

(a) NAVRESINFOSYSOFF (N14) will:

1. Initiate software procurement actions based upon input from the SCC/SML per references (a) through (e).

2. Purchase multi-user licenses vice individual, whenever possible.

3. Ensure that all software is delivered to Logistics/Field Support Division Shipping and Receiving (NAVRESINFOSYSOFF (N245)), and not to the individual user.

4. Ensure that copies of all software purchase orders, including software purchased with microcomputers, are forwarded to NAVRESINFOSYSOFF (N24).

(b) The SCC/SML will validate the software requirements, determine if a purchase is necessary, recommend approval or disapproval, and the type of buy (individual or multi-user license).

(c) NAVRESINFOSYSOFF (N245) will forward to the SCC/SML copies of all software receipt documents, including those purchased with microcomputers.

(2) Completed acquisition/procurement actions

(a) NAVRESINFOSYSOFF (N14) will provide to the SCC/SML:

1. Copies of all purchase orders for site, corporate, enterprise, network, and multi-user licenses.

2. All software maintenance records.

(b) NAVRESINFOSYSOFF (N24) software manager(s) will keep a log of the names and microcomputer serial numbers of the individuals requesting use of the software.

(3) Ordering multiple copies of computer software

(a) The SCC/SML will:

1. Perform software requirements analyses, combining requirements from different NAVRESINFOSYSOFF departments, requesting multi-user licenses vice individual, whenever possible. This will limit the tracking to licenses only.

2. Maintain one copy of the documentation in the SML. The other copies will be given to the individuals using (or assigned) the software.

b. Distribution

(1) NAVRESINFOSYSOFF (N245) will check in and issue all software including software pre-loaded on microcomputers, the media, licenses, and documentation to the SCC/SML, not to the individual user.

(2) All software will be transferred to the SCC/SML software manager(s) using the Internal Transfer Worksheet (NAVRESINFOSYSOFF 5236/2) once it is bar coded and tagged by Logistics/Field Support Division (NAVRESINFOSYSOFF (N24)). A software manager will sign the Internal Transfer Worksheet to take possession of the software. The original Internal Transfer Worksheet will go to the Controlled Equipage Inventory System (CEIS) clerk to be entered into the CEIS software inventory per reference (f). The information will also be entered into SIMS, the software inventory database for proper record keeping and tracking. All incoming media will be secured in the SML.

(3) Software (purchased by this command) in transit to other activities need not be tagged by Logistics/Field Support Division, and may be issued by NAVRESINFOSYSOFF (N245) to the designated Point Of Contact (POC). The POC must identify such software when signing the DD250 and is responsible for ensuring the software is shipped within 6 weeks. NAVRESINFOSYSOFF (N245) will provide the SCC/SML software manager(s) a copy of the DD250. The POC will notify the SCC/SML software manager(s) if the software remains in the command longer than 6 weeks.

(4) The SCC/SML software manager(s) will create a Software Load Worksheet (NAVRESINFOSYSOFF 5236/1) before releasing the software to NAVRESINFOSYSOFF (N5) technicians for installation, certifying that the individual has the legal rights to have the software loaded on their microcomputer. The SCC/SML software manager(s) will ensure the user(s) sign for the licenses listed on the Software Load Worksheet(s) and provide documentation as needed. This information will be entered into the SIMS database.

(5) Software media bins will be set up for every person in the command labeled with their microcomputer serial number and their name as the POC. The bin should contain the software media, a copy of the purchase order, and the receipt document.

(6) Electronic distribution of copyrighted software by the Systems Management Center (SMC) will be coordinated with the SCC/SML. The SMC POC will provide the SCC/SML software manager(s) a list (via E-mail) of the software to be loaded, end users or account numbers used to access the software, and the servers and workstations on which the software will be installed. Installation media/Compact Disks (CDs) may be copied on the SMC server hard disk as long as needed for installation unless prohibited by the software licensing agreement. The media/CDs will be returned to the SML upon completion of installation.

c. Installation

(1) Only Telecommunications/Operations Department (NAVRESINFOSYSOFF (N5)) technicians will install commercial copyrighted software on microcomputers.

(2) NAVRESINFOSYSOFF personnel (government or contractor) will not copy and/or install commercial copyrighted software on a microcomputer without prior approval from the SCC/SML software manager(s).

(3) Imaging for reconfiguration of computers will be coordinated through the SML and examined for possible license violations on a case by case basis prior to cloning.

(4) Requests for copying, installation, or cloning of commercial software will be submitted to the SCC/SML software manager(s) for approval. Approved requests will be forwarded to NAVRESINFOSYSOFF (N5), along with a completed Software Load Worksheet (NAVRESINFOSYSOFF 5236/1), for appropriate action. NAVRESINFOSYSOFF (N5) technician will use the completed Software Load Worksheet (NAVRESINFOSYSOFF 5236/1) to obtain any required media from the SCC/SML. The technician should annotate the installation on the Software Load Worksheet, return the media, and Software Load Worksheet signed by the employee receiving the installed software to the SCC/SML within 1 week of obtaining the media. The technician must check the computer for viruses prior to installing the software. The SCC/SML software manager will periodically virus scan the media. NAVRESINFOSYSOFF (N24) and the SCC/SML software manager(s) are available during non-core hours for emergency software requests via the command Security Office (NAVRESINFOSYSOFF (N12)).

(5) The SCC/SML software manager(s) will make two copies of the Software Load Worksheet, provide one copy to the employee receiving the installed software and one copy will go in the bin set up especially for the employee. The information will be entered into the SIMS database.

(6) When the SCC/SML software manager(s) receives software which needs to be installed on a network server, they will assign the software to the server serial number and transfer it to the Software Library. The individual who has custody of the server and is the POC for the software will provide the software manager(s) with a list of possible users or a list of account numbers used to access the software. The SCC/SML software manager(s) will forward a request to NAVRESINFOSYSOFF (N5), along with a completed Software Load Worksheet (NAVRESINFOSYSOFF 5236/1), to have an NAVRESINFOSYSOFF (N5) technician load the software. The SCC/SML software manager(s) may release server software needed for repeated access to the POC for long term retention. Media/CDs that contain non-application software or require repeated installation may be released to the POC.

(7) Software installed on a microcomputer must be re-inventoried, accounted for, and reissued by the SCC/SML software manager(s) before the microcomputer is transferred to another user.

(8) NAVRESINFOSYSOFF personnel are prohibited from generating unauthorized commitments when downloading shareware software and evaluating software for use on command computers including software evaluated by NAVRESINFOSYSOFF Planning and Implementation Division (N51) per reference (n).

d. Excess Software

(1) NAVRESINFOSYSOFF personnel (government and contractors) will turn in all excess copyrighted software to the SCC/SML.

(2) The SCC/SML software manager(s) will re-inventory the excess software and determine if the software is to be stored in the SML or turned over to NAVRESINFOSYSOFF (N245) for destruction.

(3) Software procured by one program/project may be redistributed by the SCC/SML after being excessed by the procuring program/project.

(4) NAVRESINFOSYSOFF (N245) will destroy the excess software turned over by the SCC/SML, delete that software from CEIS, and provide copies of records of destruction to the SCC/SML.

e. Security

(1) The SCC/SML will:

(a) Track in the software database and safeguard any major site, corporate, enterprise, network, multi-user commercial copyrighted software licenses and media (included will be those purchased with Other Direct Costs, Navy Working Capital Fund (NWCF) funds, and credit cards).

(b) Conduct (with IS Security (NAVRESINFOSYSOFF N55)) unannounced and random internal software reviews and surveys using automated census-type software management tool(s) that will inventory microcomputer hard drives, network servers, and identify the resident software.

(c) Upon departure of personnel, account for, sign a receipt for, and re-inventory the software (including GroupWise) residing on each microcomputer.

(d) Upon employment of personnel, authorize and/or issue required software (including GroupWise) for installation on the new employee's microcomputer.

(e) Notify NAVRESINFOSYSOFF Server Support Branch (N523) when an employee's E-mail (GroupWise) account must be established or terminated.

(2) NAVRESINFOSYSOFF Personnel (government and contractors)

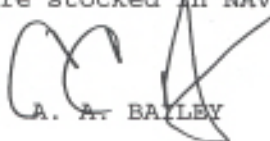
(a) Per reference (1), new employees and personnel relocating or terminating from the command must notify the SCC/SML software manager(s) at least 3 days prior to his/her final employment date.

(b) Previously purchased major site, corporate, enterprise, network, multi-user commercial copyrighted software licenses, and media currently in the possession of any NAVRESINFOSYSOFF department must be turned in to the SCC/SML software manager(s).

(c) Each individual employee will be held liable for the software assigned until the SCC/SML certifies re-inventory of that software.

(d) Each project manager (i.e., RESCOMMIS, NSIPS, DIMHRS, JALIS, NWCF, etc.) must purchase sufficient software licenses (including networking software) to support their employees/project.

7. Forms. The Software Load Worksheet, NAVRESINFOSYSOFF 5236/1 (12-98) and the Internal Transfer Worksheet, NAVRESINFOSYSOFF 5236/2 (12-98) forms mentioned within this instruction are stocked in NAVRESINFOSYSOFF (N24).


A. A. BAILEY

Distribution: (NAVRESINFOSYSOFFINST 5216.1)
Lists A, B, and C
NAVRESINFOSYSOFF CDA Washington, DC Detachment
NAVRESINFOSYSOFF CDA Memphis, TN Detachment